

U.S. Patent Application No. 09/739,933
Exhibit 3

Atty Dkt. No.: UCAL263CIP
USPN: 09/739,933
Exhibit 3

CERTIFICATE OF MAILING		
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.		
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<p align="center">DECLARATION OF JAMES FALLON UNDER 37 C.F.R. § 1.131</p> <p>Address to: Assistant Commissioner for Patents Washington, D.C. 20231</p>	Attorney Docket Confirmation No.	UCAL263 3865
	First Named Inventor	J.S. Reid
	Application Number	09/129,028
	Filing Date	August 4, 1998
	Group Art Unit	1647
	Examiner Name	S. Turner
Title	Methods for treating neurological deficits	

Dear Sir:

1. I, James Fallon, declare and say I am a co-inventor of the claims of the above-identified patent application.

2. I understand that claims 1-7, 16, and 33 were rejected as anticipated by Alexi et al. ((May 1997) *Neuroscience* 78:73-86; "Alexi").

3. As evidenced in paragraph 4, below, the invention as claimed was conceived and reduced to practice prior to May, 1997, i.e., prior to the effective date of Alexi.

4. The claimed invention of a method of attracting a glial progenitor cell, or a progeny of a glial progenitor cell, to a site of central nervous system lesion or damage, involving administering

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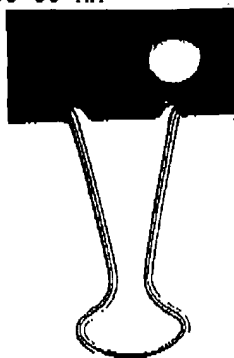
a compound that binds to an epidermal growth factor receptor, was conceived and reduced to practice before May 1997. The claimed invention is described in the doctoral thesis of Steven James Reid, which was deposited with the Office of Graduate Studies of the University of California at Irvine in March, 1997. A copy of Steven James Reid's thesis is provided herewith as Exhibit 4.

5. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title XVIII of the United States Code, and that such will false statements may jeopardize the validity of the application or any patent issuing thereon.

11/20/92
Date


James Fallon

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Exhibit 4

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U.S. Patent Application No. 09/739,933
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P.D. FORM II

University of California, Irvine

DEPARTMENT

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Date Passed _____

Language NONE

Date Passed _____

Title of Dissertation: TRANSFORMING GROWTH FACTOR ALPHA IN THE NERVOUS SYSTEM AND ITS ROLE IN REGENERATION OF THE ADULT MAMMALIAN FOREBRAIN

The doctoral committee is pleased to report upon the candidate's final examination with the recommendation that the degree of Doctor of Philosophy be conferred upon submission of the approved doctoral dissertation.

Date of Defense: MARCH 11, 1997

GRADUATE STUDIES

MAR 17 1997

Name (please print)

Signature

JAMES H. FAUCONROLAND A. GIOLLIJOHN F. MARSHALLJames H. Faucon
Roland A. Giolli
John F. Marshall☒ Yes ☐ No☒ Yes ☐ No☒ Yes ☐ No

OFFICE OF GRADUATE STUDIES

Requirements fulfilled:

☐ Language☐ Date Advanced to Candidacy February 13, 1996☒ Residency☒ Dissertation ApprovedThe candidate has satisfied all of the requirements for the Doctor of Philosophy in Biological Sciences

It is recommended that the degree be conferred as of _____

Winter
Quarter1997
Year

Dean of Graduate Studies

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DATE 3-14-97
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Date

March 18, 1997Faucon JH/Giolli/JS

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Nov. 05 2002 04:28PM F3

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Office of Research and Graduate Studies
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DISSERTATION/THESIS APPROVAL FORM

(Please type and prepare in duplicate)

NAME: MR. JAMES STEVEN
Last First Middle

PERMANENT ADDRESS:

Number and Street City State Zip Code

Ph.D.

Degree Objective
(e.g. MA, MS, MFA, Ed.D, PhD)

WTR 97

Quarter and Year

Biological Sciences

Degree Program

James Valley

Commonwealth College

TITLE OF DISSERTATION/THESIS: Please CAPITALIZE the title and indicate italics by underlining.

TRANSFORMING GROWTH FACTOR ALPHA IN THE HYPOTHALAMIC SYSTEM AND ITS ROLE IN REGENERATION OF THE ADULT MAMMALIAN FOREBRAIN

FOR OFFICE USE ONLY

APPROVED:

Dean of Graduate Studies

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